

Approved for use through 0/31/2002 CMS 0651-0031

U.S. Patent and Trademark office: U.S. DEP APTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a alid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

ENTER 09/484,895 **Application Number** January 18, 2000 **Filing Date** Harrington, John J. **First Named Inventor** Group Art Unit 1632 Nguyen, Q. **Examiner Name** 0221-0003G Attorney Docket Number

		ENCLOSURES (check	k all that apply)		
Fee Transmittal For	m	Assignment Papers (for an Application)	After Allowance Communication to Group		
Fee Attached	d ·	Drawing(s)	Appeal Communication to Board of Appeals and Interferences		
Amendment / Reply	y	Licensing-related Papers	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
After Final		Petition Petition to Convert to a	Proprietary Information		
Affidavits/de	claration(s)	Provisional Application Power of Attorney, Revocation	Status Letter		
Extension of Time Request		Change of Correspondence Address	Other Enclosure(s) (please identify below):		
Express Abandonment Request		Terminal Disclaimer Request for Refund	Form PTO-1449 (2 sheets)		
X Information Disclosure Statement Certified Copy of Priority Document(s)		CD, Number of CD(s)	2 - References Cited in Form PTO-1449		
		Remarks			
Response to Missing Parts/ Incomplete Application					
Response to Missing Parts under 37 CFR 1.52 or 1.53					
	CICNATI	DE OF ADDITIONAL ATTOCKET			
F:	SIGNATU	RE OF APPLICANT, ATTORNEY, OR	AGENT		
Firm or Individual name	A D				
Signature	Signature Anne Brown				
Date	Date February 9, 2001				

CENTIFIC	AIL OF	MAILING		
pocitod with	the United	States Destal	Candan with	ee

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 02/09/01

Typed or printed name

Sophia L/ Davis

Signature

Date

February 9, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



RECEIVED ROSED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Harrington, et al.

Application No.: 09/484,895

Filed: January 18, 2000

For: COMPOSITIONS AND METHODS

FOR NON-TARGETED ACTIVATION

OF ENDOGENOUS GENES

Group Art Unit: 1632

Examiner: Nguyen, Q.

Attorney Docket No.: 0221-0003G

Commissioner of Patents **BOX DD** Washington, D.C. 20231

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. Copies of documents AS25 and AT25 are submitted herewith. The cite numbers are based on the last cite number in the Information Disclosure Statement.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available Harrington, *et al.* Appln. No. 09/484,895 Page 2

to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants also bring to the Examiner's attention co-pending related Application Nos. 09/515,123, 09/515,124 and 09/729,416.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

This Information Disclosure Statement is being filed in accordance with 37 C.F.R. § 197(b)(3), before the mailing of a first Office Action on the merits.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

Harrington, *et al.* Appln. No. 09/484,895 Page 3

It is believed there is no fee required in the filing of this document. The Commissioner is hereby authorized to charge any fee deficiency, or credit any overpayment, to Deposit Account No. 50-0622.

Respectfully submitted,

SHANKS & HERBERT

annessoure

Anne Brown

Reg. No. 36,463

Date: February 9, 2001

TransPotomac Plaza 1033 N. Fairfax Street Suite 306 Alexandria, VA 22314-1540 Please type a plus sign (+) inside this box

2

Approved for use through 10/31/2002. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

and to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Under the Paperwork Reduction Act of 1995, no pe

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet of

Complete if Known				
Application Number	09/484,895			
Filing Date	January 18, 2000			
First Named Inventor	Harrington, John J.			
Group Art Unit	1632			
Examiner Name	Nguyen, Q.			
Attorney Docket Number	0221-0003G			

	U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	U.S. Paten Number	Kind Code ²	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant	
			(11 / / / / / / / / / / / / / / / / / /	-	WINN DD TTTT	Figures Appear	
						·	
			 				
		-					
			1 - 1				
		*					
		· <u></u>	- - -				
			- - 		 		
							
			\rightarrow				
	I		.				

FOREIGN PATENT DOCUMENTS								
Examiner Initials*		Foreign Patent Document			Name of Patentee or	Date of Publication of	Pages, Columns, Lines,	
		Office ³	Number ⁴	Kind Code ⁵ (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	T ⁶
		LI.						
		<u> </u>					·	
<u> </u>								$oxed{oxed}$
								1
								\vdash
								+
						 		+

Examiner	Date	
Signature	Considered	

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.